

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of:	Henri Waelbroeck et al.	Group:	3691
Application No.:	10/799,205	Examiner:	Bruce I. Ebersman
Filed:	March 11, 2004	Confirmation No.:	7411
For:	BLOCK TRADING SYSTEM AND METHOD PROVIDING PRICE IMPROVEMENT TO AGGRESSIVE ORDERS		

Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the duty of disclosure provisions of 37 C.F.R. §1.56, there is hereby provided certain information which the Examiner may consider material to the examination of the subject U.S. patent application. It is requested that the Examiner make this information of record if it is deemed material to the examination of the application.

1. ☒ Enclosures accompanying this Information Disclosure Statement are:
 - 1a. On Form PTO/SB/08a, a list of all patents, publications, applications, or other information submitted for consideration by the Office.
and
 - 1b. A legible copy of each non-patent publication and each non-U. S. patent or patent application, or relevant portions thereof;
2. ☐ This Information Disclosure Statement is filed under 37 C.F.R. §1.97(b):
 - ☐ Within three months of the filing date of a national application other than a continued prosecution application under §1.53(d);
 - ☐ Within three months of the date of entry of the national stage as set forth in §1.491 in an international application;
 - ☐ Before the mailing of the first Office Action on the merits;
 - ☐ Before the mailing of a first Office Action after the filing of a request for continued examination under §1.114.

3. ☒ This Information Disclosure Statement is filed under 37 C.F.R. §1.97(c) after the period specified in 37 C.F.R. §1.97(b), but before the mailing date of any of a final action under 37 C.F.R. §1.113, a notice of allowance under 37 C.F.R. §1.311 or an action that otherwise closes prosecution in the application.

(Check either Item 3a or 3b)

- 3a. ☒ The Certification Statement in Item 5 below is applicable. Accordingly, no fee is required.

- 3b. ☐ The \$180.00 fee set forth in 37 C.F.R. §1.17(p) in accordance with 37 C.F.R. §1.97(c) is:

☐ enclosed.

☐ to be charged to Cowan, Liebowitz & Latman, P.C., Deposit Account No. 03-3415.

☐ Paid via Electronic Funds Transfer (EFT).

(Item 3b to be checked if any reference known for more than 3 months.)

4. ☐ This Information Disclosure Statement is filed under 37 C.F.R. §1.97(d) after the period specified in 37 C.F.R. §1.97(c), but on or before the date of payment of the issue fee.

The \$180.00 fee set forth in 37 C.F.R. §1.17(p) is:

☐ enclosed.

☐ to be charged to Cowan, Liebowitz & Latman, P.C., Deposit Account No. 03-3415.

☐ Paid via Electronic Funds Transfer (EFT).

The Certificate Statement in Item 5 below is applicable.

5. ☒ Certificate statement (applicable if Item 3a or Item 4 is checked)

(Check either Item 5a or 5b)

- 5a. ☒ In accordance with 37 C.F.R. §1.97(d)(1), it is certified that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

- 5b. ☐ In accordance with 37 C.F.R. §1.97(e)(2), it is certified that no item of information contained in this Information Disclosure Statement was cited

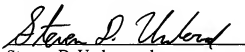
in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the undersigned after making reasonable inquiry, was known by any individual designed in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

6. ☐ This application is a continuation application under 37 C.F.R. §1.60 or §1.53(b) or (d).
- 6a. ☐ A Petition to Withdraw from issue under 37 C.F.R. §1.313(b)(5) is concurrently filed herewith.
- 6b. ☐ Copies of publications listed on Form PTO/SB/08a from prior application Serial No. _____, filed on _____, of which this application claims priority under 35 U.S.C. §120, are not being submitted pursuant to 37 C.F.R. §1.98(d).
- 6c. ☐ Copies of publications listed on Form PTO/SB/08a were not previously cited in prior application Serial No. _____, filed on _____, and are provided herewith.
7. ☐ This is a Supplemental Disclosure Statement. *(Check either Item 7a or 7b).*
- 7a. ☐ This Supplemental Information Disclosure Statement under 37 C.F.R. §1.97(f) supplements the Information Disclosure Statement filed on _____. A bona-fide attempt was made to comply with 37 C.F.R. §1.98, but inadvertent omissions were made. These omissions have been corrected herein. Accordingly, additional time is requested so that this Supplemental Information Disclosure Statement can be considered as if properly filed on _____.
- 7b. ☐ This supplemental Information Disclosure Statement is timely filed within one (1) month of a PTO Notice under 37 C.F.R. §1.97(i).
8. ☐ In accordance with 37 C.F.R. §1.98, a concise explanation of what is presently understood to be the relevance of each non-English language publication is.
(Check Item 8a, 8b, or 8c)
- 8a. ☐ satisfied because all non-English language publications were cited on the enclosed English language copy of the PCT International Search Report or the search report from a counterpart foreign application indicating the degree of relevance found by the foreign office.

- 8b. ☐ set forth in the application.
- 8c. ☐ enclosed as an attachment hereto.
9. The Commissioner for Patents is authorized to charge any additional fee required or credit any overpayment for this Information Disclosure Statement and/or Petition to Cowan, Liebowitz & Latman, P.C. Deposit Account No. 03-3415.
10. No admission is made that the information cited in this Statement is, or is considered to be, material to patentability nor a representation that a search has been made (other than a search report of a foreign counterpart application or PCT International Search Report if submitted herewith). 37 C.F.R. §§1.97(g) and (h).

Respectfully submitted,

SDU:ram
Dated: September 22, 2010


Steven D. Underwood
Reg. No. 47,205
An Attorney of Record